

## Bureau of Export Administration, Commerce

## § 762.3

person and shall produce them in a manner provided by § 762.6 of this part.

### § 762.2 Records to be retained.

(a) *Records required to be retained.* The records required to be retained under this part 762 include the following:

- (1) Export control documents, as defined in part 772 of the EAR;
- (2) Memoranda;
- (3) Notes;
- (4) Correspondence;
- (5) Contracts;
- (6) Invitations to bid;
- (7) Books of account;
- (8) Financial records;
- (9) Restrictive trade practice or boycott documents and reports, and
- (10) Other records pertaining to the types of transactions described in § 762.1(a) of this part, which are made or obtained by a person described in § 762.1(b) of this part.

(b) *Records retention references.* Paragraph (a) of this section describes records that are required to be retained. Other parts, sections, or supplements of the EAR which require the retention of records or contain recordkeeping provisions, include, but are not limited to the following:

- (1) Part 736, General Prohibitions;
- (2) § 732.6, Steps for other requirements;
- (3) § 740.1, Introduction (to License Exceptions);
- (4) § 742.12(a)(3), High Performance Computers;
- (5) Supplement No. 3 to part 742 High Performance Computers, Safeguards and Related Information;
- (6) § 742.15;
- (7) § 740.7, Humanitarian donations (NEED);
- (8) § 748.4(a), Disclosure and substantiation of facts on license applications;
- (9) § 748.6, General instructions for license applications;
- (10) § 748.9, Support documents for license applications;
- (11) § 748.10, Import and End-user Certificates;
- (12) § 748.11, Statement by Ultimate Consignee and Purchaser;
- (13) § 748.13, Delivery Verification (DV);
- (14) § 748.2(c), Obtaining forms; mailing addresses;

(15) § 750.7, Issuance of license and acknowledgment of conditions;

(16) § 750.8, Revocation or suspension of license;

(17) § 750.9, Duplicate licenses;

(18) § 750.10, Transfer of licenses for export;

(19) § 752.7, Direct shipment to customers;

(20) § 752.9, Action on SCL applications;

(21) § 752.10, Changes to the SCL;

(22) § 752.11, Internal Control Programs;

(23) § 752.12, Recordkeeping requirements;

(24) § 752.13, Inspection of records;

(25) § 752.14, System reviews;

(26) § 752.15, Export clearance;

(27) § 754.2(j)(3), Recordkeeping requirements for deep water ballast exchange.

(28) § 754.4, Unprocessed western red cedar;

(29) § 758.1(h), Record and proof of agent's authority;

(30) § 758.1 and § 758.2, Shipper's Export Declaration or Automated Export System record;

(31) § 758.6, Destination control statements;

(32) § 760.6, Restrictive Trade Practices and Boycotts;

(33) § 762.2, Records to be retained;

(34) § 764.2, Violations;

(35) § 764.5, Voluntary self-disclosure; and

(36) § 766.10, Subpoenas;

(37) § 743.1, Wassenaar reports;

(38) § 748.14, Exports of firearms;

(39) § 745.1, Annual reports;

(40) § 745.2, End-use certificates; and

(41) § 758.2(c), Assumption writing.

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### § 762.3 Records exempt from recordkeeping requirements.

(a) The following types of records have been determined to be exempt from the recordkeeping requirement procedures:

- (1) Export information page;
- (2) Special export file list;
- (3) Vessel log from freight forwarder;
- (4) Inspection certificate;
- (5) Warranty certificate;